



0306 #2

PATENT  
Attorney Docket No.: 56351.000010

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of :

Joseph G. Gatto

Serial No.: 09/722,050

Filed: November 27, 2000

For: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM  
AND METHOD

)  
)  
) Group Art Unit: *to be assigned*

)  
) Examiner: *to be assigned*

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

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Technology Center 3600

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicant respectfully submits the following documents for the Examiner's consideration. A copy of Form PTO-1449 and copies of each of the listed documents are enclosed for the Examiner's convenience.

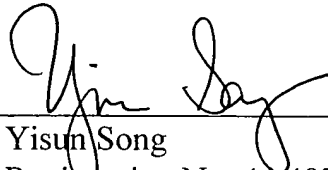
Applicant respectfully request that the Examiner consider the enclosed references and that the Examiner indicates that the references have been considered in this application by returning a copy of the Form PTO-1449 with the Examiner's initials in the left column per MPEP 609.

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This Information Disclosure Statement is believed to be submitted before the mailing of a first Office Action. Accordingly, no fees are due. However, if any fees are incurred upon the filing of this Information Disclosure Statement, the Commissioner is hereby authorized to charge the undersigned's Deposit Account No. 50-0206.

Respectfully submitted,

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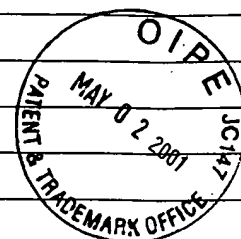
(Use several sheets if necessary)

GROUP:  
to be assigned

[illegible][illegible]

A	<a href="https://www.invesars.com/home.asp">https://www.invesars.com/home.asp</a> (printed 3/26/01)
B	I/B/E/S Internation Inc., Active Express
C	The Journal of Finance, Vol. XXXIII, March 1978, No. 1
D	The Predictive Value of Interim Reports for Improving Forecasts of Future Quarterly Earnings, April 1978
E	Financial Analysts Journal/Jan. - Feb. 1996 "Analyst Forecasting Errors and their Implications for Security Analysis: An Alternative Perspective"
F	The Journal of Portfolio Management "Analysts can Forecast Accuragely" Brown et al.
G	Journal of Forecasting, Vol. 2 325-330 1983) "Perspective on Forecasting Research in Accounting and Finance"
H	Journal of Accounting Research , Vol. 24 Supplement 1986 "Evidence on the Incremental Information Content of Additional Firm Dsisclosures made Concurrently with Earnings" Hoskin et al.
I	Financial Analysts Journal, Mar./Apr. 1997 "Earnings Suerprise Research: Synthesis and Perspectives" Brown
J	The Journal of Finance, Vol. LIV, No. 5 Oct. 1999, "What os the Intrinsic value of the Dow", Lee et al.
K	The Journal of Finance, Vol. XLIX, No. 3 July 1993 "Market Integration and Prive Execution for NYSE-Listed Securities

L	The Journal of Finance, Vol XLVIII, No. 2 June 1993 "Summing Up"
M	The Journal of Finance, Vol. XLVIII, No. 2 June 1993 "Yes, Discounts on Closed-End Funds are a Sentiment Index"
N	The Review of Financial Studies 1993, Vol. 6, No. 2 pp. 345-374 "Spreads, Depths, and the Impact of Earnings Information: An Intraday Analysis"
O	International Journal of Forecasting, Vol. 11, No. 3 (1995) pp.361-500
P	Financial Analysts Journal, Jan/Feb 1996
Q	Accounting Organizations and Society, Vol. 21, No 7/8/October/November 1996
R	Financial Analysts Journal March/April 1997
S	Journal of Accounting & Economics Vol. 9 1987 (MSG.V. 9 No. 3)
T	Journal of Accounting & Economics Vol. 9, No. 2 July 1987
U	The Accounting Review Vol. 67, No. 4 October 1992
V	Financial Analysts Journal Nov/Dec 1997
W	The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997
X	The Journal of Canadian Academic Accounting Association, Vol. 16, No. 1, Spring 1999
Y	Journal of Accounting Research Vol. 23, No. 1 Spring 1985
Z	International Journal of Forecasting, Vol. 9, No. 3 (1993) pp. 295-436
AI	"A Journal of Accounting, Finance and Business Studies" Vol. 30, No. 1 March 1994
BI	Journal of Accounting Auditing & Finance Vol. 9, No. 4 (new series) Fall 1994
CI	The Journal of the Canadian Academic Accounting Association Vol. 11, No. 1-1 Summer 1994
DI	The CPA Journal May 1995
EI	International Journal of Forecasting , Vol. 12, No. 1 (1996) pp.1-192
FI	Journal of Accounting Research Vol. 25, No. 1 Spring 1987
GI	International Journal of Forecasting Vol. 7, No. 3 (1991) pp. 257-408
HI	Journal of Accounting Research Vol. 29, No. 2 1991
II	The Accounting Review Quarterly Journal of the American Accounting Association Vol. LX April 1985 No. 2
JI	The Journal of Portfolio Management Vol. 23, No. 4 Summer 1997
KI	Journal of Accounting Research Vol. 38, No 1 Spring 2000
LI	The Accounting Review, Vol. 68, No. 3, July 1993
MI	Journal of Accounting Research Vol. 17, No. 2 Autumn 1979
NI	Journal of Business Finance & Accounting, Vol. 19, No. 4 June 1992
OI	Journal of Accounting Research Vol. 23, No. 1 Spring 1985
PI	The Journal of the Canadian Academic Accounting Association, Vol. 14, No. 2 Summer 1997
QI	The Journal of Finance, Vol. 46, No. 1 March 1991
RI	Accounting Horizons, Vol. 11, No. 4 December 1997
SI	Accounting Horizons, Vol. 13, No. 4 December 1999
TI	Journal of Accounting and Economics Vol. 25, No. 3 June 1998
UI	Contemporary Accounting Research Vol. 8, No. 1 Fall 1991
VI	CA Magazine April 1996
WI	The Journal of Finance Vol. 46, No. 2 June 1991
XI	The Journal of Finance, Vol. 55, No. 5 October 2000
YI	Financial Analysts Journal, Vol. 55, No. 5 Sept/Oct. 1999
ZI	Journal of Accounting & Economics, Vol. 15, No. 2/3 June/Sept. 1992



	A2	Accounting Horizons, Vol. 10, No. 3 September 1996
	B2	Accounting Horizons Vol. 10, No. 4, December 1996
	C2	Accounting Horizons, Vol. 10, No. 3 September 1996
	D2	"Profiling From Predicting Earnings Surprise", Brown et al. 1998
	E2	"Enhancing Earnings Predictability Using Individual Analyst Forecasts", Herzberg et al. Summer 1999
	F2	"Do Stock Prices Fully reflect the Implications of Current Earnings for Future Earnings for AR1 Firms" Brown et al. 2000
	G2	"The Information Content of Analyst Stock Recommendations" Kirsche et al. 8/8/00
	H2	<a href="http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml">http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml</a> (printed 2/5/01)
	I2	<a href="http://my.zacks.com/?ALERT+www.zacks.com">http://my.zacks.com/?ALERT+www.zacks.com</a> (printed 2/2/01)
	J2	<a href="http://www.cianet.com">http://www.cianet.com</a> (printed 2/5/01)
	K2	<a href="http://www.factset.com">http://www.factset.com</a> (printed 2/5/01)
	L2	<a href="http://www.iexchange.com">http://www.iexchange.com</a> (printed 2/5/01)
	M2	<a href="http://www.validea.com/home/home.asp">http://www.validea.com/home/home.asp</a> (printed 2/5/01)
	N2	<a href="http://www.bulldogresearch.com/default.asp">http://www.bulldogresearch.com/default.asp</a> (printed 2/5/01)
	O2	"Predicting Individual Analyst Earnings Forecast Accuracy", Brown et al. 9/29/99
	P2	The Journal of Finance Vol. XLIX, No. 1 March 1994
EXAMINER		DATE CONSIDERED
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>		

